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FROM: Winston Hsu, PATENT AGENT, REG. NO. : 41,526

SERIAL NO.: 10/605,653

ATTORNEY DOCKET NO.: AUOP0022USA

**SUBJECT: PRELIMINARY AMENDMENT &
INFORMATION DISCLOSURE STATEMENT**

TOTAL PAGES: 19 PAGES (INCLUDING COVER PAGE)

Winston Hsu 2004/08/31

AUOP0022USA0_A3,D1_1

PTO/SB/97 (08-03)

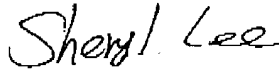
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APPLICATION NUMBER: 10/605,653

PAPERS INCLUDED:

(1) Transmittal Form	1 PAGE
(2) Fee Transmittal	1 PAGE
(3) Preliminary Amendment	4 PAGES
(4) Information Disclosure Statement	11 PAGES

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)		Application Number	10/605,653
		Filing Date	10/15/2003
		First Named Inventor	Chuan-Pei Yu
		Art Unit	2871
		Examiner Name	
Total Number of Pages in This Submission	17	Attorney Docket Number	AUOP0022USA

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Winston Hsu, Reg. No.: 41,526
Signature	<i>Winston Hsu</i>
Date	8/31/2004

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I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
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PTO/SB/17 (10-03)

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**FEE TRANSMITTAL
for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT**

(\$) 0.00

Complete if Known

Application Number	10/605,653
Filing Date	10/15/2003
First Named Inventor	Chuan-Pei Yu
Examiner Name	
Art Unit	2871
Attorney Docket No.	AUOP0022USA

METHOD OF PAYMENT (check all that apply)☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:

Deposit Account Number	50-3105
Deposit Account Name	North America Intellectual Property Corp.

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☐ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$) 0.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1202 18	2202 9	Claims in excess of 20	
1201 86	2201 43	Independent claims in excess of 3	
1203 290	2203 145	Multiple dependent claim, if not paid	
1204 86	2204 43	** Reissue independent claims over original patent	
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)			(\$) 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0.00**SUBMITTED BY**

Name (Print/Type) Winston Hsu

Registration No. 41,526

(Complete if applicable)

Telephone 886289237350

Signature

Winston Hsu

Date

8/31/2004

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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	1
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Complete if Known

Application Number	10/605,653
Filing Date	10/15/2003
First Named Inventor	Chuan-Pei Yu
Art Unit	2871
Examiner Name	
Attorney Docket Number	AUOP0022USA

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner
Signature**

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

5 Applicants: Chuan-Pei Yu and Kelly Wei

Filing Date: 10/15/2003

Art Unit: 2871

Serial No.: 10/605,653

Docket No.: AUOP0022USA

10

Title: BACKLIGHT MODULE

To: Commissioner for Patents

P.O. BOX 1450

15

Alexandria, VA 22313-1450

Subject: Information disclosure statement under 37C.F.R. §1.56.

20 Dear Sir:

This is an Information Disclosure Statement in accordance with the duty to disclose information material to patentability under 37 C.F.R. §1.56. The
25 applicant wishes to make of record the document listed on the accompanying form 1449A/PTO. It is respectfully requested that the examiner initials the cited reference on the form and that it be made of record in the application and that a copy of the initialed
30 form be sent to the applicant with the next communication from the examiner.

Since the IDS is filed before the mailing date of a first Office action on the merits, a petition to request consideration of the information disclosure statement is hereby submitted according to 37 CFR §1.97(b). The item contained in the information disclosure statement was first cited in a communication from the Taiwan Intellectual Property Office on June 15, 2004 for a counterpart foreign application. The applicant sincerely hopes that the examiner can consider the item contained in this IDS.

According to the requirement set forth in 37 C.F.R. §1.98 and M.P.E.P. 609, the applicant is submitting a copy of the reference cited by the Taiwan Intellectual Property Office, Taiwanese patent application TW 556781 (filed Oct. 23, 2002). A concise explanation of the relevance in this application follows.

Regarding TW 566781, Fig. 3 and Fig. 4 appear to be the most relevant drawings and disclose a flat display structure with an LED light source comprising a substrate 10, a plurality of light emitting devices (LED) 12, a diffusing plate 14 positioned on the LED 12, a plurality of scattering apertures 15 under the diffusing plate 14, a first diffusing layer 16 positioned on the diffusing plate 14, a prism sheet 18 positioned on the first diffusing layer 16, a second diffusing layer 20 positioned on the prism sheet 18, and a LED display 30. The structure of the flat display structure with the LED light source in this prior art is similar to that of the backlight module 50 shown

in Fig.2 and Fig.3 of the present invention. However, the prior art does not mention that a scattering pattern is installed in the inner wall of each scattering structure. Thus, the claimed invention of the present application is believed different from the prior art as shown in TW 566781.

Claim 1 has been amended in a preliminary amendment filed to distinguish from the TW 566781 patent. For convenience, the amended claim 1 of the present application is listed below:

1. A backlight module comprising:
 - a plurality of point light source generators;
 - 15 a diffusing plate installed on the plurality of point light source generators for scattering the light generated by the plurality of point light source generators;
 - 20 a plurality of scattering apertures installed on the surface of the diffusing plate opposite to the plurality of point light source generators, wherein a scattering pattern is disposed over the inner wall of at least one scattering aperture; and
 - 25 a diffusing sheet installed above the diffusing plate for diffusing the light emitted from the diffusing plate.

Please refer to Fig.2 and Fig.3 of the present invention. The backlight module 50 is installed under a display panel 52 and includes a plurality of point light source generators 54, a diffusing plate 56

installed on the point light source generators 54 for guiding the light generated by the point light source generators 54, a diffusing sheet 58 installed above the diffusing plate 56 for diffusing the light emitted from the diffusing plate 56, a prism sheet 60 installed above the diffusing sheet 58 for further modifying the direction of light from the diffusing sheet 58 in order to increase the luminance of the backlight module, and a brightness enhancement film (DBEF) 62 such as a 3M™ DBEF installed above the prism sheet 60 for increasing the brightness of the backlight module 50. Moreover, the surface of the diffusing plate 56 includes a plurality of scattering patterns 64 (partially enlarged in Fig.3) for scattering the light generated by the point light source generators 54. The scattering patterns 64 are composed of arc shaped trenches or V-trenches on the surface of the diffusing plate 56, and can be horizontally lined, vertically lined, obliquely lined or cross-lined for a better scattering performance.

In contrast with the prior art cited above, the amended claim 1 of the present invention contains the limitation of the scattering pattern 64 being installed in the inner wall of each scattering aperture. However, the prior art does not teach or suggest the scattering pattern 64 or any related structures. It is therefore believed that the amended claim 1 is substantially different from the prior art patent TP No. 566781.

Sincerely,

5 Winston Hsu

Date: 8/31/2004

Winston Hsu, Patent Agent No. 41,526

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